**RESEARCH ETHICS CLEARANCE (APPLICATION)**

1. SCITECHED, Faculty of Education
2. ONLINE PROGRAMME

I, Click or tap here to enter your name and student/staff number (the researcher’s name and student / staff number) hereby confirm that the following conditions have been met:

1. The information provided in this ethics clearance application to undertake research with human participants is accurate to the best of my knowledge.
2. I understand the principles of conducting ethical research.
3. I will endeavour to conduct all the research in an ethical manner as prescribed by Faculty and University rules.
4. I will inform the Faculty of Education Research Ethics Committee (REC) of any substantive changes to the project that might impact on the ethical clearance of the project.
5. This project has not been submitted to another REC or Review Board for review.
6. **I have completed the required research ethical training and a copy of my certificate of completion has been included with this application -Link for training (if no training has been completed): TRREE online training/ Training. (**[**https://elearning.trree.org/**](https://elearning.trree.org/)**)**



**Signature** (click or tap above)

**Name:**

Click or tap here, and then on the arrow to select a date

**Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Please select one:**

[ ]  This *student research project (up to* ***Master’s*** *level)* has been approved and ethically screenedby the relevant Department or Centre of the Faculty of Education for submission to the REC.

[ ]  This *student research project (****PhD****)* has been approved and ethically screenedby the relevant Doctoral Committee for submission to the REC.

[ ]  This ***staff research project*** has been approved and ethically screenedby the relevant Department or Centre of the Faculty of Education for submission to the REC.

[ ]  This *student* ***group research project*** has been approved and ethically screenedby the relevant Department or Centre of the Faculty of Education for submission to the REC. This application covers the broad ethical issues pertaining to the group project.

[ ]  This ***research project*** is a Funda UJabule Practice School project for which the involvement of minors has been pre-approved.

[ ]  This ***external research project*** *proposal* and associated ethics application have both been submitted to the Faculty of Education REC for approval.



**Signature** (Supervisor / Staff Researcher / External Researcher)

**Name of** (Supervisor / Staff Researcher / External Researcher) :

Click or tap here, and then on the arrow to select a date

**Date**

**RESEARCH METHODOLOGY**

Please provide the relevant information.

1. **Research Approach(es)**

 [ ]  Qualitative

 [ ]  Quantitative

 [ ]  Mixed/Integrated Methods

 [ ]  Philosophical/conceptual

1. **Research Design(s)**

[ ]  Biographical

[ ]  Phenomenological/Critical Theory

[ ]  Grounded Theory

[ ]  Ethnographical/Autoethnographical

[ ]  Case Study/Multi Case Study

[ ]  Design Experiment/Experimental

[ ]  Action Research

Click or tap here to enter text.

[ ]  **Other** (please provide details)

Click or tap here to enter text.

1. **Research Method(s)s and Instrument(s)**

[ ]  Document analysis/Protocol

[ ]  Surveys/Questionnaires or other quantitative strategy (please provide details below)

[ ]  Individual interviews/Protocols

[ ]  Focus Group Interviews/Protocols

[ ]  Observations/Protocols

[ ]  Other (please provide details)

Click or tap here to enter text.

1. **Sampling**

[ ]  Random

[ ]  Targeted

[ ]  Purposeful

[ ]  Snow balling

[ ]  Other (please provide details)

Click or tap here to enter text.

1. **Sample size**

[ ]  < 11

[ ]  11- 50

[ ]  > 50

Other (please provide details)

Click or tap here to enter text

1. **Age of participants**

[ ]  < 14

[ ]  14 - 17

[ ]  ≥18

Please provide the name and designation of an adult, neither parent nor guardian, who will protect the rights of the child younger than 18 years of age.

Click or tap here to enter text.

**Title: Type title here**

***Background to the study including the nature of the research***

Start with an introduction here. We/I, ………. are/am doing research on………… Research is the process whereby ………… (explain in language appropriate to participants). In this study I want to learn ………………. Add an invitation to participate -We are inviting you to participate in this research study (or asking to include your child in the study). Then add a brief background/context to the study including the social or educational value of the research. Explain why it is relevant to the needs of the participants or community. Provide the scientific basis for the research.

No references needed here, only informative and appropriate language written in an inviting style addressing the participants

***Intention of the project***

Research associated with this project attempts to (Add your main aim here). The purpose of the research must be clearly stated in a brief sentence or two.

***Procedures involved in the research***

Explain in easy-to-understand language and short sentences what you expect from participants. Use the word "you" and "I". Address them directly and invitationally.

Include information such as:

The educational or scientific benefit of the study, and standard procedures that participants will be exposed to;

How you will ensure "full disclosure" for informed consent.

Who you will make this disclosure to (participants / communities / employers etc).

How you will ensure understanding. Possible barriers to understanding (language, intelligence, maturity, level of trust, culture, religion, privacy).

Possible problems in the informed consent process including translations, text size, complexity of language - and how you will address these (e.g. pictures / cartoons / talking books etc.)

Participant involvement, selection/sampling, duration of participation / Time required / Frequency of interactions (expectation of participation must be clearly defined ie. Who, what, when, how long?);

Place where interactions will take place, types of interaction (interviews, focus groups, surveys);

Data capture (written notes and/or voice/video recording) with additional measures to ensure informed consent to record. Recordings necessitate a separate signature hence the addition on the consent/assent form (last page of this document)

***Potential Risks***

Select from [ ]  Low [ ]  Medium [ ]  High risk and elaborate here. Select from the following examples and give additional information where required.

• While you might feel uncomfortable, anxious or stressful, there are minimal risks involved in participating in this study. (Add more about procedures for handling these risks.)

• You should be aware that there are some risks when taking part in this study (Then explain the risks);

•There may be some risks due to the vulnerable nature of the participants (Describe these risks e,g,, exploitation, discrimination, stigmatization, dependency, community pressure, religious influences, patriarchal families or societies etc.).

For potentially vulnerable participants/groups - Explain why the research has to be done with the vulnerable group (why can it not be done with non-vulnerable participants?) Educational Psychology students may have to include measures to provide additional ancillary care/therapy over and above that done during the research. You cannot be therapist and researcher! Added protection? Agreements with these caregivers must be submitted for ethical review.

Some examples of risks include compensation (be careful not to be coercive).

Does research "take away" from essential services like teaching time, health care, etc?

Risks to the researcher must also be considered.

Legal issues must be considered (capacity to consent/compliance with SA laws, e.g., POPIA)

***Potential Benefits***

Describe the benefits. The benefits should outweigh the risks. You should leave the participants / community better, or no worse off than before?

***Informed consent***

We recognise that participants are not capable of consent unless “informed”. We have, therefore, disclosed the nature of the research, the aims, the duration, the risks and benefits, the nature of interventions throughout the study, compensations where appropriate, researcher details, and details of the ethical review process. Where appropriate, communities, employers, departments and other instances are also part of the informed consent process.

***Confidentiality***

Every effort will be made to protect (guarantee) your confidentiality and privacy. I will not use your name or any personal information, locally or abroad, that would allow you to be identified. In addition, all data collected will be anonymous and only the researchers will have access to the data that will be securely stored for no longer than 2 years after publication of research reports, or papers. Thereafter, all collected data will be destroyed. You must, however, be aware that there is always the risk of group or cohort identification in research reports, but your personal identity will always remain confidential. You must also be aware that if information you have provided is requested by legal authorities I may be required to comply by law.

***Participation and Withdrawal***

Your participation in this study is voluntary. You may withdraw your consent to participate in the project at any time during the project. If you decide to withdraw, there will be no consequences to you. Your decision whether or not to be part of the study will not affect your continuing access to any services that might be part of this study.

***Future interest and Feedback***

You may contact me (see below) at any time during or after the study for additional information, or if you have questions related to the findings of the study. You may indicate your need to see the findings of the research in the attached consent form.

|  |  |
| --- | --- |
| Type researcher name and email address here | | Type supervisor's name and email address here |

**INFORMED CONSENT/ASSENT FORM**

**Project Title**

Click or tap here to enter the project title

Click or tap here to enter the name of the investigator

Click or tap to enter the date

*Please mark the appropriate checkboxes.* I hereby:

[ ]  Agree to be involved in the above research project as a **participant**.

[ ]  Agree to be involved in the above research project as an **observer** to protect the rights of:

 [ ]  Children younger than 18 years of age.

 [ ]  Children younger than 18 years of age that might be vulnerable\*; and/or

[ ]  Children younger than 18 years of age who are part of a child-headed family.

[ ]  Agree that **my child**, *Click or tap here to enter name* may participate in the above research project.

[ ]  Agree that **my staff** may be involved in the above research project as participants.

[ ]  **I have read the research information sheet pertaining to this research project (or had it explained to me) and I understand the nature of the research and my role in it.**

* **I have had the opportunity to ask questions about my involvement in this study.**
* **I understand that my personal details (and any identifying data) will be kept strictly confidential.**
* **I understand that I may withdraw my consent and participation in this study at any time with no penalty.**

 

**Signature**

**Please provide contact details below ONLY if you choose one of the following options:**

[ ]  Please allow me to review the report prior to publication. I supply my details below for this purpose.

[ ]  Please allow me to review the report after publication. I supply my details below for this purpose.

[ ]  I would like to retain a copy of this signed document as proof of the contractual agreement between myself and the researcher.

Click or tap here to enter name

Click or tap here to enter contact number

Click or tap here to enter email

\* Vulnerable participants refer to individuals susceptible to exploitation or at risk of being exposed to harm (physical, mental, psychological, emotional and/or spiritual).

**VIDEO, AUDIO OR PHOTOGRAPHIC RECORDING**

**By law, separate consent or assent must be provided to indicate willingness to be video / audio recorded or photographed. Please provide your consent / assent on this form:**

**Where applicable:**

[ ]  I willingly provide my consent/assent for using **audio** recording of my/the participant’s contributions.

[ ]  I willingly provide my consent/assent for using **video** recording of my/the participant’s contributions.

[ ]  I willingly provide my consent/assent for the use of **photographs** in this study.

****

Click or tap to select a date

**Signature of person taking the consent**

****

Click or tap to select a date.

**Personal Information Impact Assessment**

**Research**

|  |
| --- |
| **Section 1: Application Details** |
| 1.1 | Research Proposal Title |  |
| 1.2 | Department |  |
| 1.3 | Research Type |

|  |  |  |  |
| --- | --- | --- | --- |
| Qualification |  | Non-qualification |  |

 |
| 1.4 | Student/Researcher First NameList all names for group projects |  |
| 1.5 | Student/Researcher Last NameList all names for group projects |  |
| 1.6 | Student/Staff NumberList all numbers for group projects |  |
| 1.7 | Supervisor Initials & Last Name |  |
| 1.8 | Co-supervisor(s) Initials & Last Name |  |
| 1.9 | Application Date |  | Proposal Version |  |

|  |
| --- |
| **Section 2: Applicability** |
| 2.1 | Does this research involve the processing1 of personal information?2 |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
|  | 1 All activities that involve identifiable personal information – from collection to destruction.2 Any information that relates to an identifiable, living individual or an identifiable, existing juristic person (i.e. company or other organisation).. |
| ⮡ | If the answer is [No], please provide an explanation below of (i) how the research data have been de-identified or (ii) how the research data have been collected without identifiers (also explain how it is not possible to re-identify the research data in either case). |
|  |  |
| ⮡ | If the answer is [Yes], please complete sections 3 –11. |

|  |
| --- |
| **Section 3: Inherent Risk Assessment** |
| 3.1 | Will the research participants include children (minors), or will the research involve special personal information? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 3.2 | Will the research involve processing of personal information on a large scale? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 3.3 | Will the research involve the evaluation or scoring of Personal Information to make automated decisions (no human involvement in the decision) with legal consequences or that will have a significant effect on research participants? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 3.4 | Will the research involve processing where researchers are getting research participants’ personal Information from sources other than the research participant themselves? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 3.5 | Will the personal information of research participants be disclosed to third parties? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 3.6 | Are any people or organisations that will have access to the personal Information located in another country? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 3.7 | Will unique identifiers be used to link, combine, compare, or match personal Information from multiple sources? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |
|  |  |  |  |

 |
| 3.8 | Does the research involve the use of new technology or technology that is, or might be, perceived by individuals as intrusive on their privacy? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 3.9 | Would the processing of personal information contemplated by the researchers be outside of the reasonable expectations of the individuals? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 3.10 | Will the research involve contacting or interacting with individuals in ways they might find intrusive? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| ⮡ | If the answer to any of the above questions is [Yes], the research must be classified as high risk (see section 4 below). |

|  |
| --- |
| **Section 4: Risk Classification** |
| 4.1 | Risk category (based on section 3 above). |  |

|  |
| --- |
| **Section 5: Self-assessment | Processing Limitation** |
| **5.1 Minimality** |
| 5.1.1 | Is it necessary to collect all the (proposed) personal information? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 5.1.2 | Is there a less intrusive way to process the personal information (is it possible to pseudonymise the information)? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| ⮡ | If the answer to 5.1.2 is [No], please give a short explanation in the box below (5.1.3). |
| 5.1.3 |  |
| **5.2 Legal Justification** |
| 5.2.1 | Will the participants be asked for POPIA consent? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| ⮡ | If the answer to 5.2.1 is [Yes], please answer 5.2.2. |
| 5.2.2 | Is there a separate POPIA information letter and consent form attached to the research proposal/protocol? |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| ⮡ | If the answer to 5.2.1 is [No], please answer 5.2.3 - 5.2.10. |
| 5.2.3 | If the research involves children, will the parent or guardian of each child participant be asked for POPIA consent? |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| 5.2.4 | Is the research required by law? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 5.2.5 | Is the research conducted by a public body performing a public law duty? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 5.2.6 | Is the research in the legitimate interest3 of the responsible party, of a third party to whom the personal information is supplied, or of the research participants? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 5.2.7 | If the research is high risk, is the research in the public interest? |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| 5.2.8 | If the research is high risk, is it impossible, or would it require a disproportionate effort to get POPIA consent? |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| 5.2.9 | If the research is high risk, has the research participant deliberately made the personal Information public? |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| 5.2.10 | If the research involves children, has the child made the personal information public deliberately with the POPIA consent of a competent person? |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
|  | 3 In general, if the responsible party, research participants or a third party benefit from the research then an argument can be made for legal justification on the grounds of a legitimate interest. |

|  |
| --- |
| **Section 6: Self-assessment | Purpose Specification** |
| **6.1 Document the Purpose of the Research** |
| ⮡ | Confirm if any of the following are being collected (are these documented in the research proposal?): |
| 6.1.1 | Information relating to the race, gender, sex, pregnancy, marital status, national, ethnic, or social origin, colour, sexual orientation, age, physical or mental health, well-being, disability, religion, conscience, belief, culture, language or birth of the participant. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 6.1.2 | Information relating to the education or the medical, financial, criminal or employment history of the person. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 6.1.3 | Any identifying number, symbol, email address, physical address, telephone number, location information, online identifier or another particular assignment to the participant. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 6.1.4 | Correspondence sent by an identifiable participant that is implicitly or explicitly of a private or confidential nature or further correspondence that would reveal the contents of the original correspondence. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| ⮡ | Are the following documented in the research proposal/protocol? |
| 6.1.5 | The aim and objectives for collecting/processing the above personal information? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 6.1.6 | The number or participants and how they will be recruited and contacted? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 6.1.7 | How the personal information will be collected and stored? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 6.1.8 | If the personal information will be shared, with whom and how? |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| 6.1.9 | Whether any new or innovative technology will be used to process the personal information? |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| **6.2 Retention & Restriction of Records** |
| ⮡ | Are the following documented in the research proposal/protocol? |
| 6.2.1 | The retention period for personal information? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 6.2.2 | A justification for the retention period (i.e. the reason why personal information must be retained for a specific period of time, particularly if this time extends beyond immediate use for the proposed research)? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 6.2.3 | If personal information must be retained beyond the period of immediate use for research, will it be pseudonymised?  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| 6.2.4 | If personal information must be retained beyond the period of immediate use for research, access is restricted to people requiring this for the purpose of the retention? |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| 6.2.5 | How the personal information will be destroyed (in a way that prevents re-identification)? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |

|  |
| --- |
| **Section 7: Self-assessment | Further Processing Limitation (Secondary Use of Personal Information)** |
| 7.1 | Will there be further processing of personal information? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| ⮡ | If the answer to 7.1 is [Yes], please complete 7.2 – 7.10. |
| 7.2 | Will the personal information used for further processing be pseudonymised? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 7.3 | If it is special personal information, does the research serve a public interest and is the information necessary for that purpose? |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| 7.4 | If it is special personal information, would it involve disproportionate effort or be impossible to obtain POPIA consent for further processing? |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| 7.5 | If it is special personal information of children, can the researcher(s) ensure that further processing will not adversely affect the privacy of the children concerned. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| 7.6 | Is the purpose for which the personal information is being used (i.e. secondary use) different from the original purpose? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| ⮡ | If the answer to 7.6 was [Yes], are the following described in the research proposal/protocol? |
| 7.7 | The circumstances under which the original data was collected and the information that was disclosed to the original participants regarding the purpose of the original research. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 7.8 | Measures to be taken to ensure that no identifiable data is disclosed. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 7.9 | If POPIA consent is going to be obtained for further processing, how information about the research will be communicated to the original participants and how their consent will be obtained. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 7.10 | Whether the researcher(s) have gatekeeper permission (in writing) from the responsible party who initially collected the information to be used for further processing. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |

|  |
| --- |
| **Section 8: Self-assessment | Information Quality** |
| ⮡ | Are the following described in the research proposal, where necessary? |
| 8.1 | The source of the personal information and the extent to which it can be considered accurate and reliable (including information about this where applicable). |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 8.2 | The use of data quality reviews where appropriate, including the methodology used in the data quality review(s) or any reasons why data quality reviews were not done. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| 8.3 | Whether research participants have or will be granted access to their own personal information (and if this is not the case, the reason(s) for not granting access). |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 8.4 | How personal information quality is managed (i.e. is it under central management with copies allowed only under specific conditions). |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 8.5 | If the research involves a questionnaire, steps that have been taken to enhance accuracy of the questions. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Yes |  | No |  | N/A |  |

 |
| 8.6 | Steps that have been taken to minimise the risk of bias that may be present in personal information to be used for further processing. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |

|  |
| --- |
| **Section 9: Self-assessment | Security Safeguards** |
| ⮡ | Are the following described in the research proposal, where necessary? |
| 9.1 | Risk-appropriate measures in place to address (i) access control and authentication, (ii) communication security, (iii) use of mobile devices, home networks and removable media, (iii) physical security (for hard copies of data) and redundancy (backup strategy) for personal information. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 9.2 | Details about the implementation of pseudonymisation, including any justification of not using pseudonymisation for high risk personal information. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 9.3 | Use of restricted environments for the processing of high risk personal information. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 9.4 | A security compromise incident reporting and response procedure. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 9.5 | Steps that participants can take to (i) withdraw POPIA consent and (ii) access their own personal information (if applicable – if not, what the reason is for not being able to access their personal information). |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |

|  |
| --- |
| **Section 10: Self-assessment | Transborder Information Flows** |
| 10.1 | Will the research involve transborder personal information flows (from South Africa to another country)? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| ⮡ | If the answer to 10.1 is [Yes], please complete 10.2 – 10.4 (are the following described in the research proposal/protocol)? |
| 10.2 | The nature and type of transborder information flows applicable to the research. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 10.3 | Any agreements that must be in place, where applicable (if necessary, these agreements must be concluded at the time of research proposal/protocol approval). |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 10.4 | What level of legal protection is in place for transborder information flows from South Africa to another country. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |

|  |
| --- |
| **Section 11: Self-assessment | Prior Authorisation** |
| 11.1 | Will the research involve processing of any unique identifiers for a purpose other than the one that the identifier was intended when collected and will these identifiers be used to link information processed by another responsible party together? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 11.2 | Will the research process information on criminal behaviour, unlawful or objectionable conduct on behalf of third parties? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 11.3 | Will the research transfer special personal information or the personal information of children to a third party in a foreign country that does not provide an adequate level of protection for the processing of personal information (i.e. the same level as POPIA). |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| ⮡ | If the answer to 11.1 or 11.2 or 11.3 is [Yes], please complete 11.4 – 11.5 (are the following described in the research proposal/protocol)? |
| 11.4 | The need for prior authorisation from the information regulator? |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |
| 11.5 | A description of how and when prior authorisation will be obtained and a statement that no data collection will commence until prior authorisation is in place. |

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |

 |

|  |
| --- |
| **Section 12: Signatures** |
| 12.1 | Signature of supervisor/researcher |  |

|  |
| --- |
| **Section 13: Involvement of personal information** |
| No personal information involved | Yes No |
| Personal information involved with low risk | Yes No |
| Personal information involved with high risk | Yes No |